TRAQ – Awards Module

Reviewing TRAQ DSS Forms

Department Heads/Faculty Signing Authorities - User Manual

Revised: January 2015

Accessing the Researcher's Portal

- Department Heads and, at times, Faculty Signing Authorities (depending on the faculty) are required to review and approve TRAQ DSS Forms before they reach University Research Services.

- TRAQ DSS Forms that have been submitted by PIs are accessed through the TRAQ Researcher Portal. Please note that the Researcher Portal is accessible on tablets (i.e. iPads, PlayBooks, etc.)

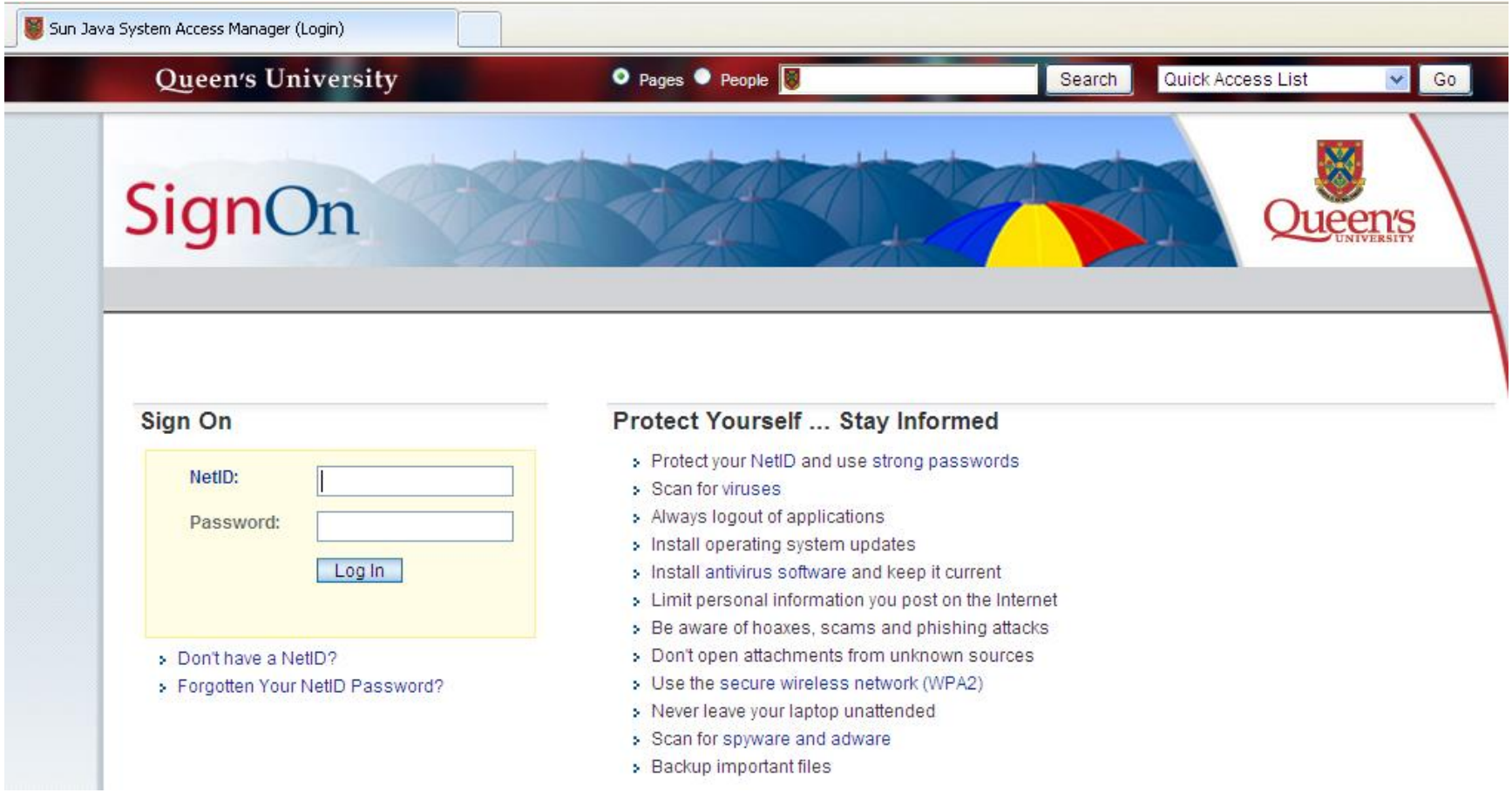
- You will receive an email notification whenever there is a TRAQ DSS Form awaiting your review. You will also receive a reminder email on Monday mornings drawing your attention to any applications still pending your review.

- Department Heads/Faculty Signing Authorities should use their Queen's NetID and strong password* to log into the Researcher's Portal through the Single SignOn, or through MyQueensU/SOLUS portal.

**Information regarding managing your Queen's NetID and the strong password is available on the ITS website.*

Single SignOn for Queen's Faculty & Staff

- Enter your Queen's NetID and strong password to access the Researcher's Portal



Researcher's Portal

- Department Heads' dashboard may have up to four roles: Principal Investigator, Project Team Member, Department Signing Authority and Reviewer. Any TRAQ DSS Form awaiting your approval will be available under **Role: Department Signing Authority**. (Please note that any Biohazard Permit application requiring your approval will be available under Role: Reviewer.)

Role : Principal Investigator

Applications (Saved - Not Submitted)	(4)
Applications (Submitted - Under Review)	(0)
Applications (Submitted - Requiring My Attention)	(0)
Applications (Submitted - Post Review)	(32)
Applications (Withdrawn)	(0)
My Reminders	(0)

Role: Project Team Member

Applications (Saved - Not Submitted)	(1)
Applications (Submitted - Under Review)	(0)
Applications (Submitted - Requiring My Attention)	(0)
Applications (Submitted - Post Review)	(23)
Applications (Withdrawn)	(0)
My Reminders	(1)

TRAQ DSS Forms

Biohazard Permit Applications

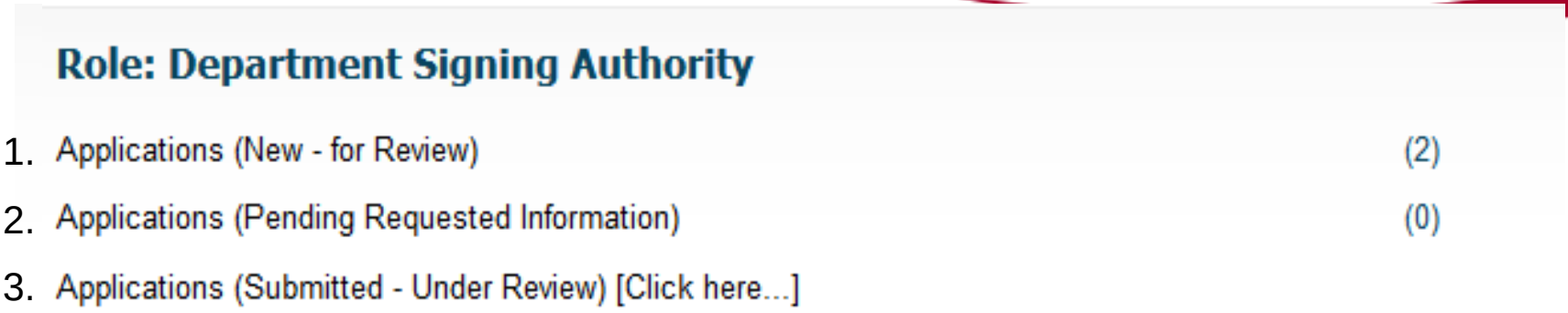
Role: Department Signing Authority

Applications (New - for Review)	(0)
Applications (Pending Requested Information)	(1)
Applications (Submitted - Under Review)	(2)

Role: Reviewer

Applications Requiring Your Review as a Chair	(1)
Applications Requiring Your Review as a Reviewer - New	(0)
Applications Requiring Your Review as a Reviewer - In Progress	(0)
Events Requiring Your Review as a Chair	(0)
Events Requiring Your Review as a Reviewer - New	(0)
Events Requiring Your Review as a Reviewer - In Progress	(0)

Accessing TRAQ DSS Forms

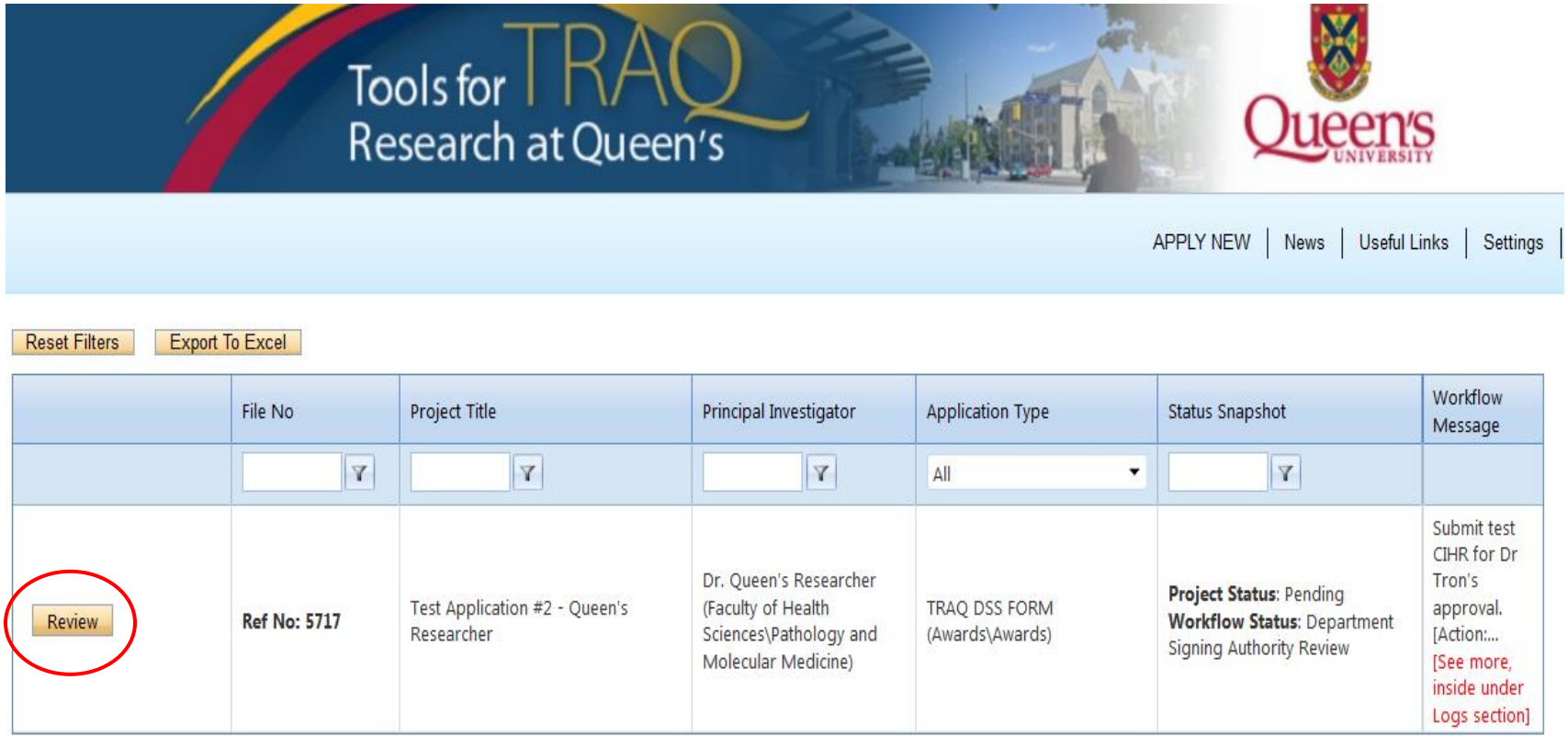

Role: Department Signing Authority
1. Applications (New - for Review) (2)
2. Applications (Pending Requested Information) (0)
3. Applications (Submitted - Under Review) [Click here...]

TRAQ DSS Forms submitted by PIs within your department (or faculty) may be accessed through one of these quick links:

1. TRAQ DSS Forms recently submitted by PIs and awaiting your review will be available through **Applications (New – for Review)**;
2. Applications that you have pushed back to the PI for edits, or clarifications, will remain accessible through **Applications (Pending Requested Information)**;
3. **Applications (Submitted – Under Review)** will display all applications that you have reviewed and approved, or forwarded to the next signing authority. The workflow status of these applications would be 'Faculty Signing Authority', or 'ORS Review'.

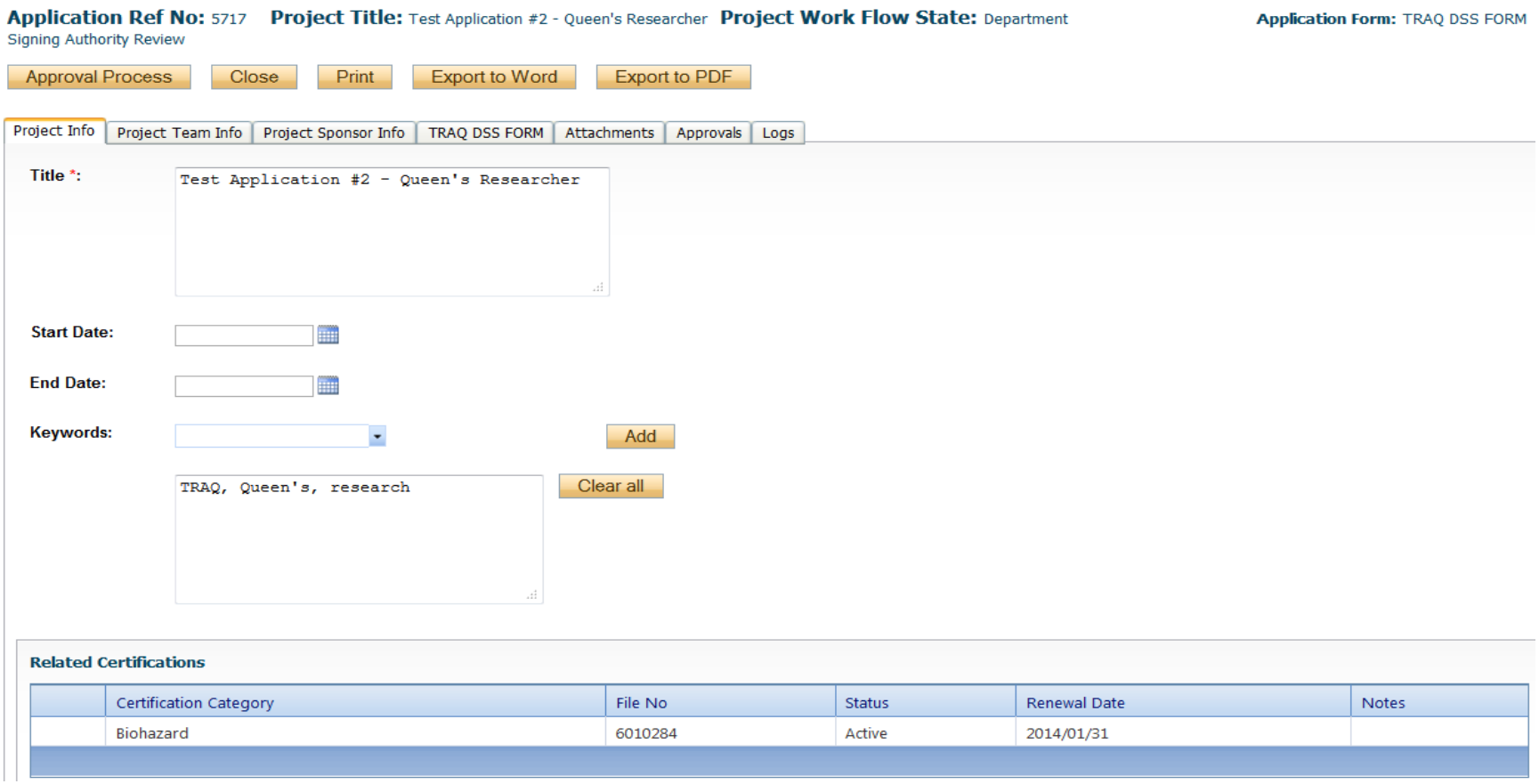
Reviewing/Approving TRAQ DSS Forms

- Click on **Applications (New – for Review)** to access any application awaiting your review. Then, click on 'Review' to review the contents of the TRAQ DSS Form.



Reviewing TRAQ DSS Forms

- You can review the application by going through the different tabs (and sub-tabs of the application form). Please see next slide for a description of the tabs.



Reviewing TRAQ DSS FORMS (Cont.)

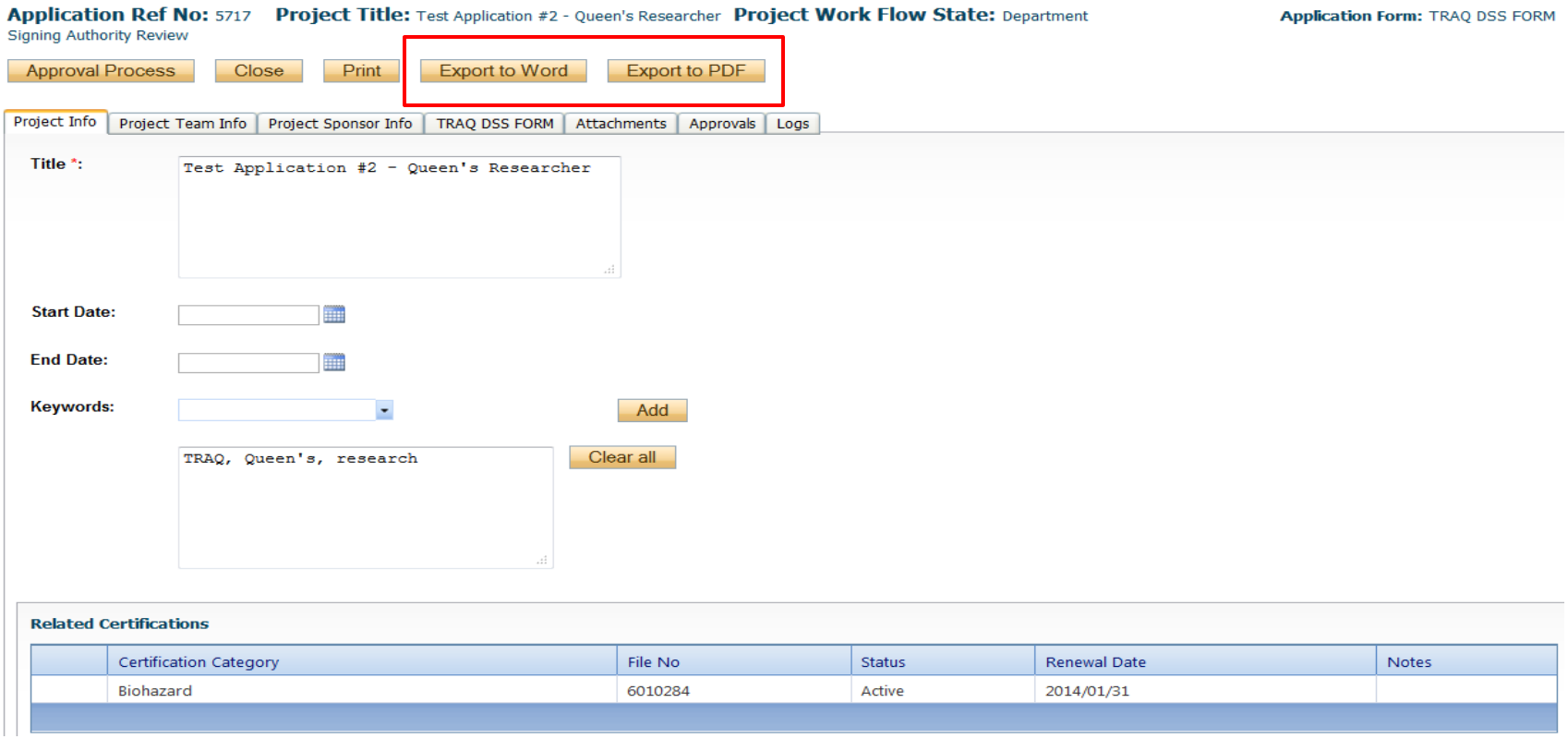
Tab	Description
Project Info	• Title of the project; • Keywords describing the project; • Link to any related certification (Biohazard and/or Human Ethics).
Project Team Info	• Name of PI; • ***Affiliation of PI** – this information must be verified by department head to ensure that PIs with cross-appointments are submitting their TRAQ DSS Form to the appropriate department; • Names and roles of team members (e.g. Co-PIs, Co-Investigators, Research Coordinators, etc.).
Project Sponsor Info	• Name of funding agency (agencies) being approached for funding; • Program PI is applying to; • Deadline date of the competition; • Start Date; • Amount requested from funding agency.

Reviewing TRAQ DSS Forms (Cont.)

Tab	Description
TRAQ DSS Form	TRAQ DSS Form has 4 sub-tabs: 1. General: questions regarding location where research will be conducted and research funds will be held; **2.** ***Overhead**: overhead rate that will be applied to the amount of research funds received – this information must be verified by department head/faculty signing authority; 3. Hospital Research: to be completed by PIs whose research is to be conducted at one of the affiliated teaching hospitals (Kingston Geneal Hospital, Providence Care, Hotel Dieu); 4. Checklist
Attachments	• All attachments provided by the researcher, such as Research Proposal, Preliminary Budget/Budget Justification, Agreement, etc. can be accessed through this tab.
Approvals	• This is where all Hospital Operational Directors who have been selected to approve the application will access the "Approval Process" button.
Logs	There are two logs: 1. Workflow Log: tracks and time stamps approvals and messages. The Workflow Log starts to populate after the PI submits the application; 2. Project Log: tracks and time stamps every action taken on the application.

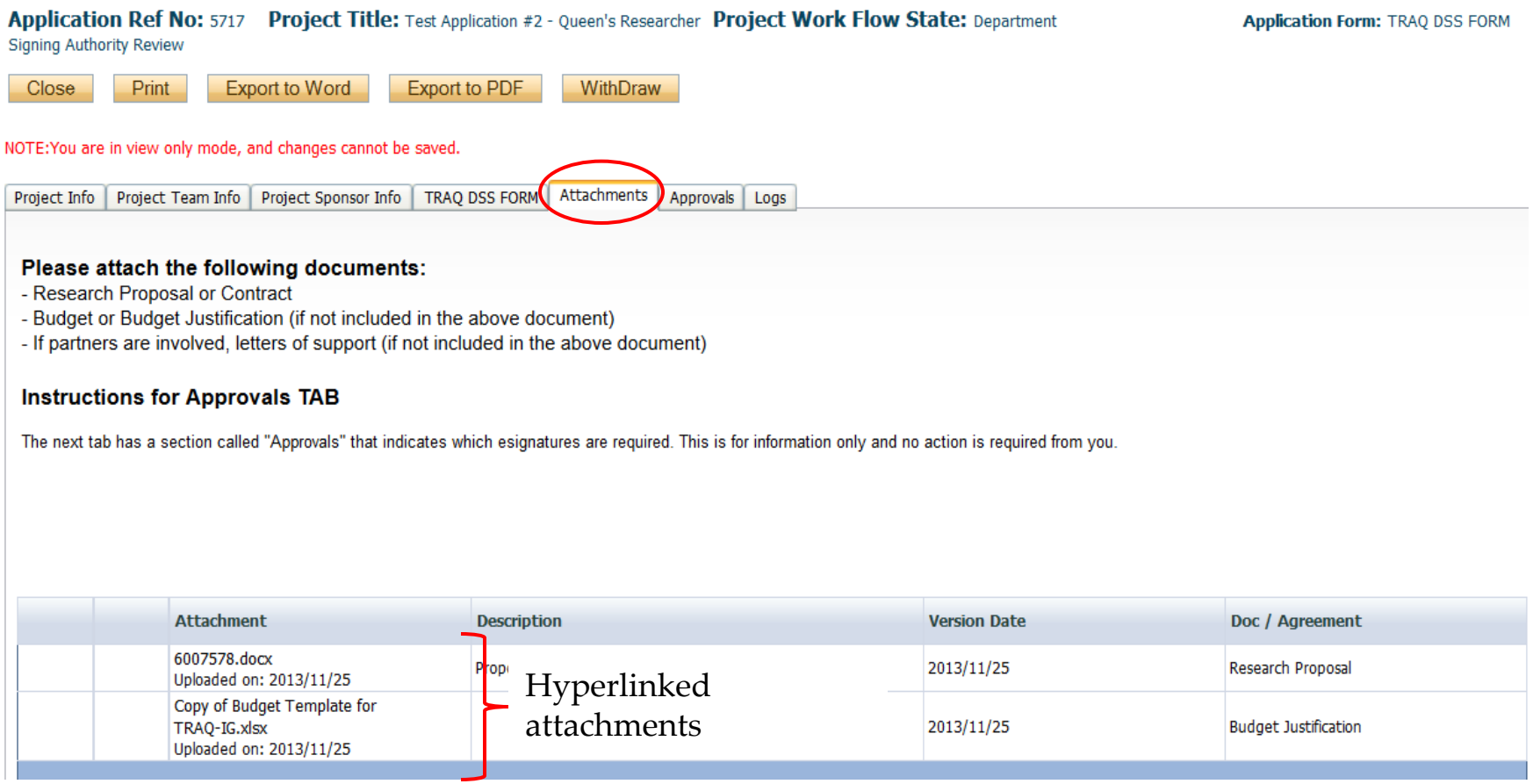
Exporting TRAQ DSS Form to Word/PDF

- Although you can view an application by going through its different tabs and sub-tabs, you may also export it to Word or PDF which allows you to view the entire application in one document.



Reviewing Attachments

- Click on the Attachments tab. From there you can access any of the documents listed below by clicking on their hyperlinked title under the Attachment column. This is where the research proposal and budget, or budget justification can be viewed.


Application Ref No: 5717 Project Title: Test Application #2 - Queen's Researcher Project Work Flow State: Department Signing Authority Review
Application Form: TRAQ DSS FORM
Close
Print
Export to Word
Export to PDF
WithDraw
NOTE:You are in view only mode, and changes cannot be saved.
Project Info
Project Team Info
Project Sponsor Info
TRAQ DSS FORM
Attachments
Approvals
Logs
Please attach the following documents:
- Research Proposal or Contract
- Budget or Budget Justification (if not included in the above document)
- If partners are involved, letters of support (if not included in the above document)
Instructions for Approvals TAB
The next tab has a section called "Approvals" that indicates which esignatures are required. This is for information only and no action is required from you.
Attachment
Description
Version Date
Doc / Agreement
6007578.docx
Uploaded on: 2013/11/25
2013/11/25
Research Proposal
Copy of Budget Template for TRAQ-IG.xlsx
Uploaded on: 2013/11/25
2013/11/25
Budget Justification
Hyperlinked attachments

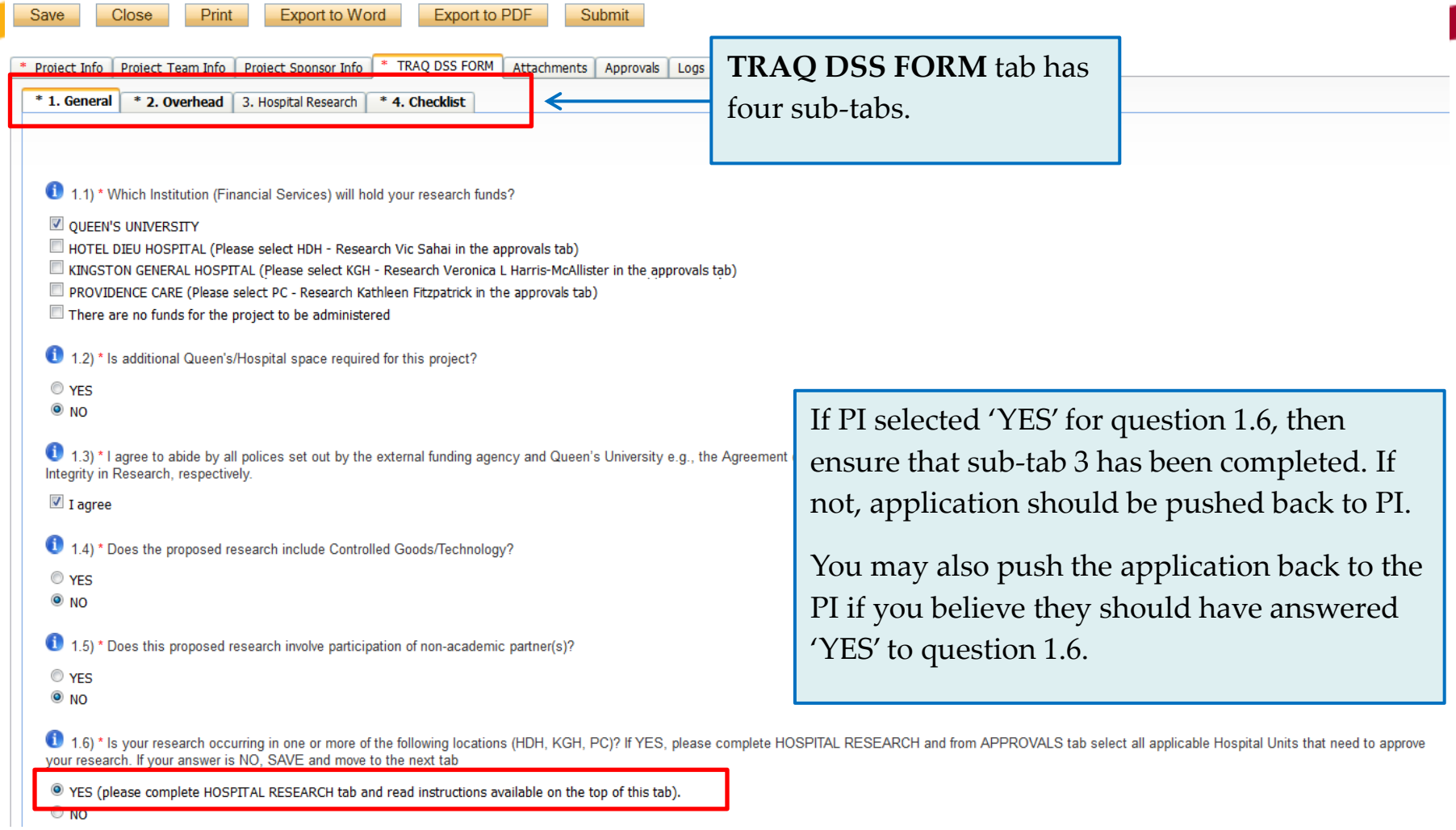
IMPORTANT

- Department Heads must verify that PIs with multiple affiliations (cross-appointed to two or more academic units) have selected the proper affiliation on the **Project Team Info** tab when submitting the application. Please review the project title, team members, the attached research proposal, and any additional information provided by the PI at the moment of submission to determine the Department/Research Centre where this study will be taking place.

- Department Heads/Faculty Signing Authority are responsible for ensuring that the PI selected the appropriate overhead rate. The overhead rate can be viewed on the second sub tab of the **TRAQ DSS Form**. If the PI submitted a budget, or budget justification, with their TRAQ DSS Form, the amount of overhead should have been included.

- Department Heads should also verify that PIs with hospital-based research have completed sub-tab 3 of the **TRAQ DSS FORM** tab, as well as selected the Research Directors for each hospital involved in the study (Hotel Dieu, Kingston General Hospital, and Providence Care) under the **Approvals** tab. <u>If the PI has omitted to complete sub-tab 3, or the Approvals tab, the TRAQ DSS Form should be pushed back to the PI with instructions to complete these required sections and re-submit their application.</u>

Reviewing Hospital Research Tab

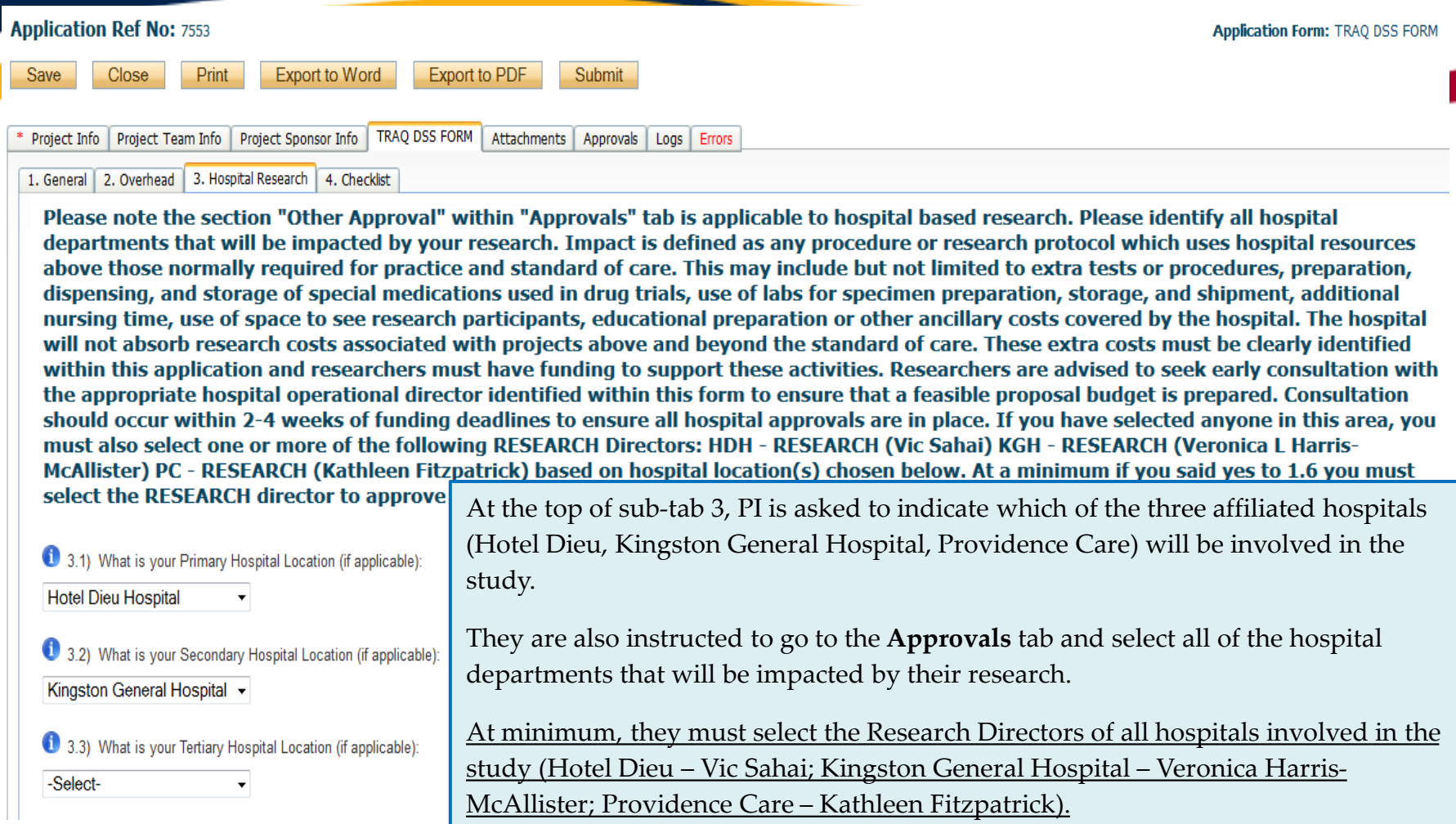

Save
Close
Print
Export to Word
Export to PDF
Submit
* Project Info
Project Team Info
Project Sponsor Info
* TRAQ DSS FORM
Attachments
Approvals
Logs
* 1. General
* 2. Overhead
3. Hospital Research
* 4. Checklist
1.1) * Which Institution (Financial Services) will hold your research funds?
QUEEN'S UNIVERSITY
HOTEL DIEU HOSPITAL (Please select HDH - Research Vic Sahai in the approvals tab)
KINGSTON GENERAL HOSPITAL (Please select KGH - Research Veronica L Harris-McAllister in the approvals tab)
PROVIDENCE CARE (Please select PC - Research Kathleen Fitzpatrick in the approvals tab)
There are no funds for the project to be administered
1.2) * Is additional Queen's/Hospital space required for this project?
YES
NO
1.3) * I agree to abide by all polices set out by the external funding agency and Queen's University e.g., the Agreement
Integrity in Research, respectively.
I agree
1.4) * Does the proposed research include Controlled Goods/Technology?
YES
NO
1.5) * Does this proposed research involve participation of non-academic partner(s)?
YES
NO
1.6) * Is your research occurring in one or more of the following locations (HDH, KGH, PC)? If YES, please complete HOSPITAL RESEARCH and from APPROVALS tab select all applicable Hospital Units that need to approve your research. If your answer is NO, SAVE and move to the next tab
YES (please complete HOSPITAL RESEARCH tab and read instructions available on the top of this tab).
NO

TRAQ DSS FORM tab has four sub-tabs.

If PI selected 'YES' for question 1.6, then ensure that sub-tab 3 has been completed. If not, application should be pushed back to PI.

You may also push the application back to the PI if you believe they should have answered 'YES' to question 1.6.

Reviewing Hospital Research Tab (Cont.)


Application Ref No: 7553
Application Form: TRAQ DSS FORM
Save
Close
Print
Export to Word
Export to PDF
Submit
* Project Info
Project Team Info
Project Sponsor Info
TRAQ DSS FORM
Attachments
Approvals
Logs
Errors
1. General
2. Overhead
3. Hospital Research
4. Checklist
Please note the section "Other Approval" within "Approvals" tab is applicable to hospital based research. Please identify all hospital departments that will be impacted by your research. Impact is defined as any procedure or research protocol which uses hospital resources above those normally required for practice and standard of care. This may include but not limited to extra tests or procedures, preparation, dispensing, and storage of special medications used in drug trials, use of labs for specimen preparation, storage, and shipment, additional nursing time, use of space to see research participants, educational preparation or other ancillary costs covered by the hospital. The hospital will not absorb research costs associated with projects above and beyond the standard of care. These extra costs must be clearly identified within this application and researchers must have funding to support these activities. Researchers are advised to seek early consultation with the appropriate hospital operational director identified within this form to ensure that a feasible proposal budget is prepared. Consultation should occur within 2-4 weeks of funding deadlines to ensure all hospital approvals are in place. If you have selected anyone in this area, you must also select one or more of the following RESEARCH Directors: HDH - RESEARCH (Vic Sahai) KGH - RESEARCH (Veronica L Harris-McAllister) PC - RESEARCH (Kathleen Fitzpatrick) based on hospital location(s) chosen below. At a minimum if you said yes to 1.6 you must select the RESEARCH director to approve
3.1) What is your Primary Hospital Location (if applicable):
Hotel Dieu Hospital
3.2) What is your Secondary Hospital Location (if applicable):
Kingston General Hospital
3.3) What is your Tertiary Hospital Location (if applicable):
-Select-

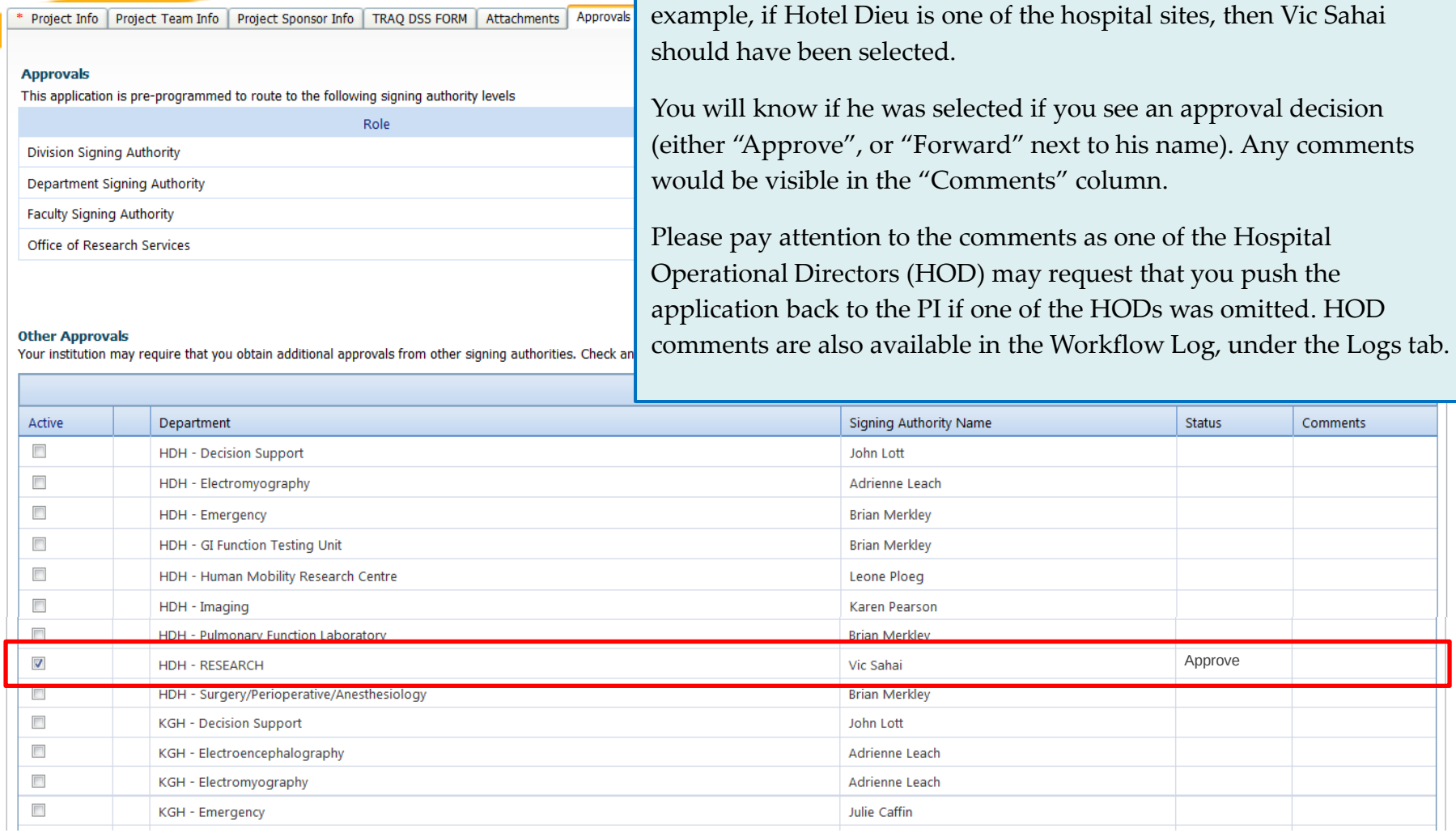
At the top of sub-tab 3, PI is asked to indicate which of the three affiliated hospitals (Hotel Dieu, Kingston General Hospital, Providence Care) will be involved in the study.

They are also instructed to go to the **Approvals** tab and select all of the hospital departments that will be impacted by their research.

<u>At minimum, they must select the Research Directors of all hospitals involved in the study (Hotel Dieu – Vic Sahai; Kingston General Hospital – Veronica Harris-McAllister; Providence Care – Kathleen Fitzpatrick).</u>

Department Heads should check the **Approvals** tab and ensure the Research Director(s) have been selected. If PI has omitted to select the appropriate Hospital Operational Directors, the application should be pushed back.

Reviewing Approvals Tab



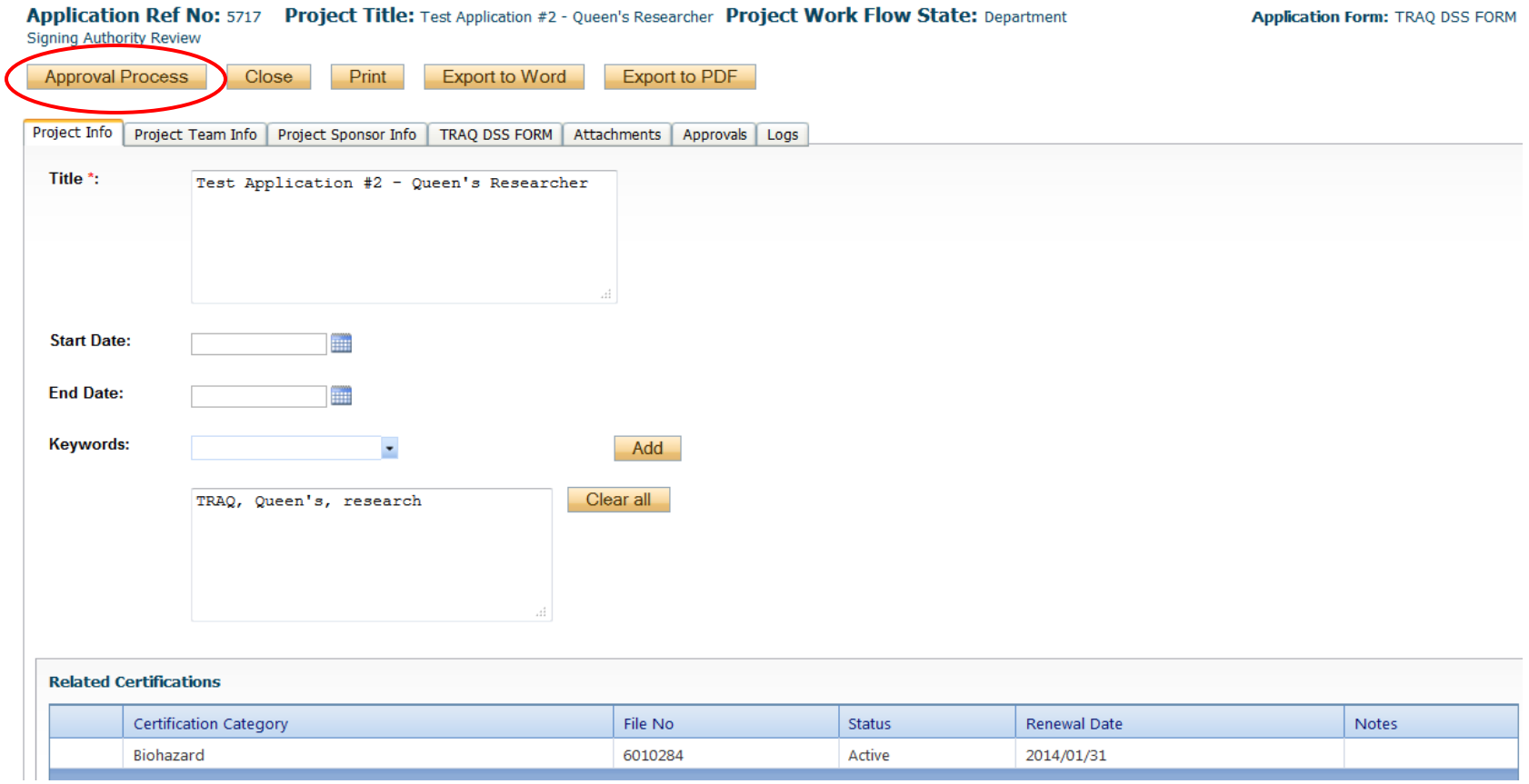
Once in the Approvals tab, scroll down in the "Other Approvals" section and make sure that Research Director(s) were selected. For example, if Hotel Dieu is one of the hospital sites, then Vic Sahai should have been selected.

You will know if he was selected if you see an approval decision (either "Approve", or "Forward" next to his name). Any comments would be visible in the "Comments" column.

Please pay attention to the comments as one of the Hospital Operational Directors (HOD) may request that you push the application back to the PI if one of the HODs was omitted. HOD comments are also available in the Workflow Log, under the Logs tab.

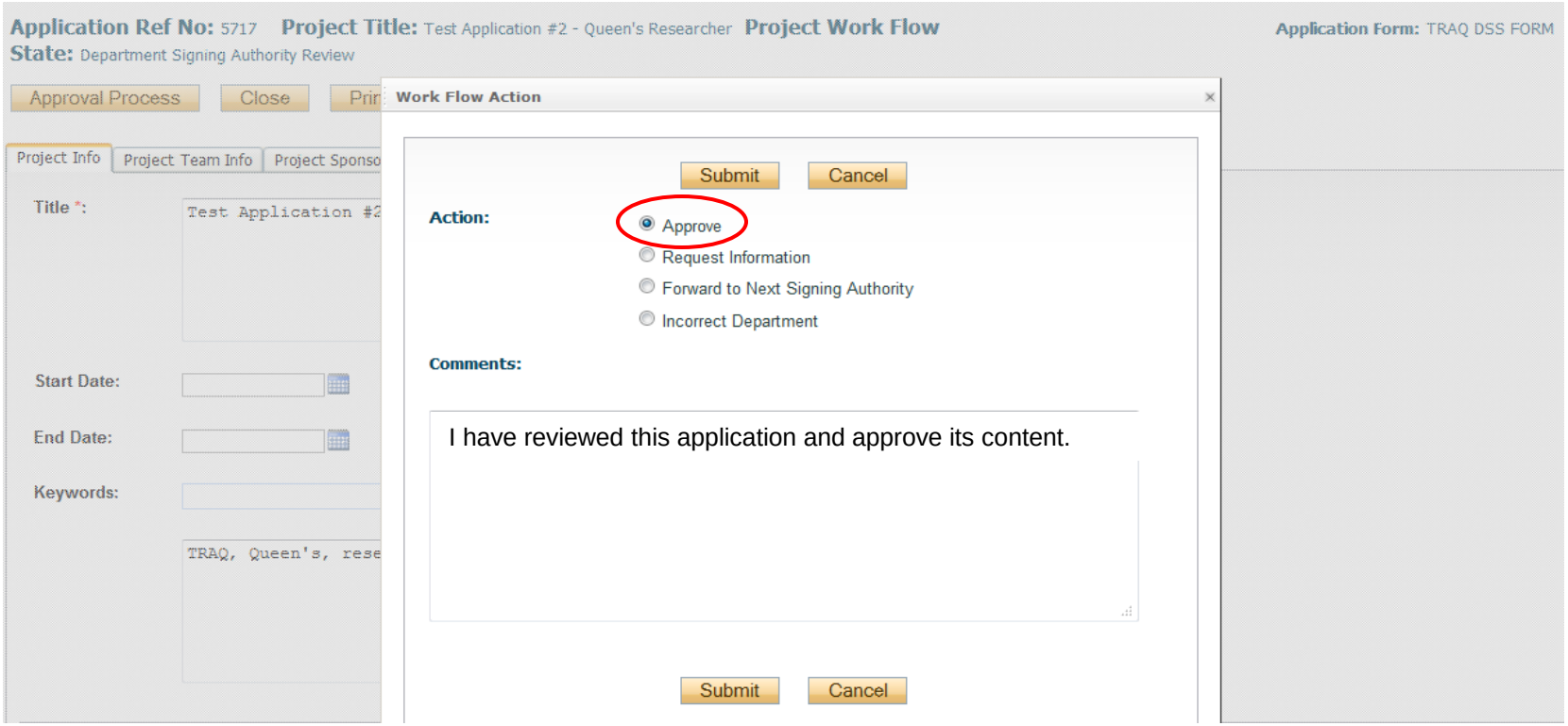
Submitting Comments/Approving TRAQ DSS Form

- Click on “Approval Process” at the top of the application to access the “Work Flow Action” screen.



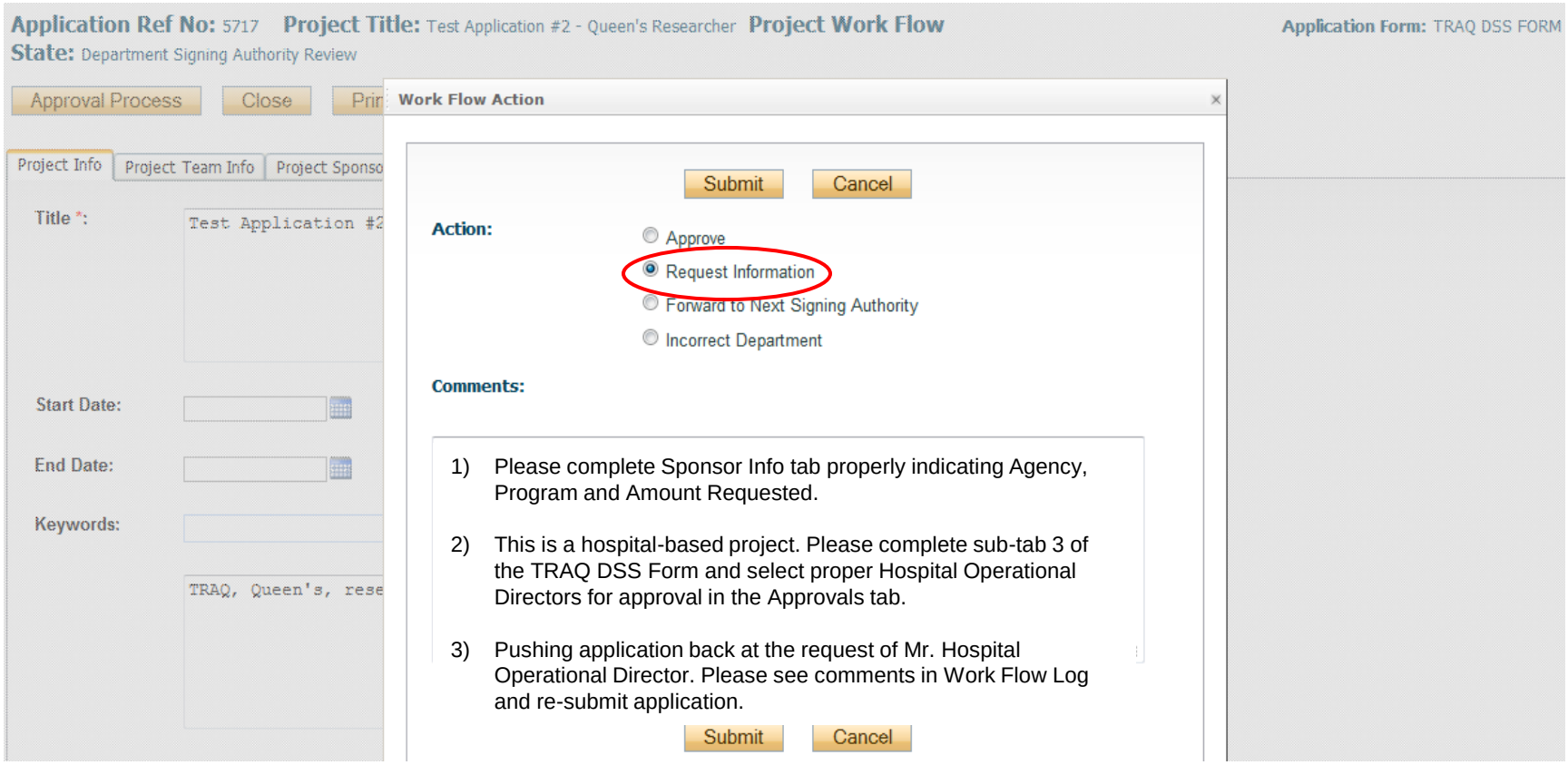
Action: Approve and Forward to URS

- If you are satisfied with the contents of the application and are ready to submit it to University Research Services, please click the 'Approve' radio button, enter a brief comment, and click on 'Submit' to forward the application.



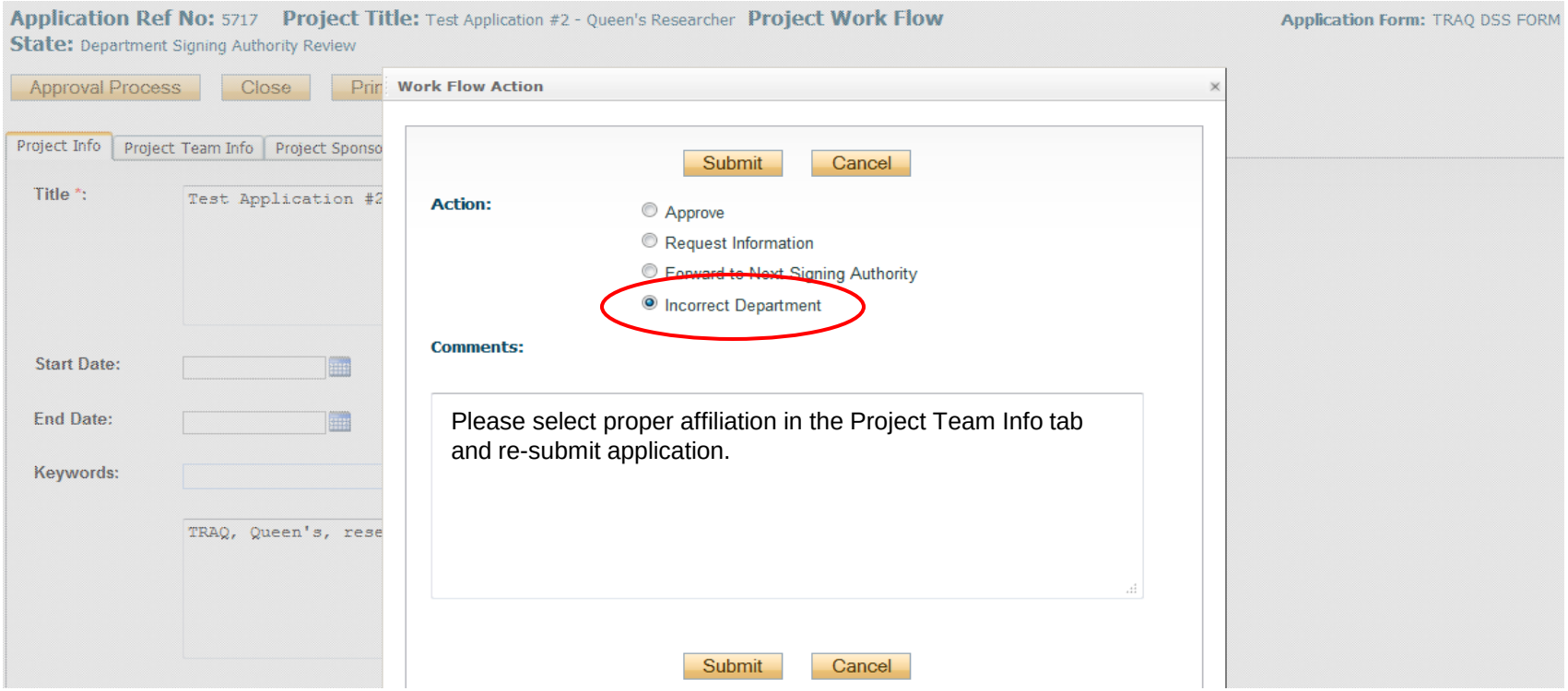
Action: Request Information

- Select this action to push the application back to the PI for editing. This should be done whenever the PI has neglected to complete the Sponsor Info tab properly; when a PI with a hospital-based project neglected to complete sub-tab 3 and/or select Hospital Operational Directors to approve their project in the Approvals tab; or, if one of the Hospital Operational Directors requests that the application be pushed back to the PI.


Application Ref No: 5717 Project Title: Test Application #2 - Queen's Researcher Project Work Flow
Application Form: TRAQ DSS FORM
State: Department Signing Authority Review
Approval Process
Close
Work Flow Action
Project Info
Project Team Info
Project Sponso
Title *:
Test Application #2
Start Date:
End Date:
Keywords:
TRAQ, Queen's, rese
Submit
Cancel
Action:
Approve
Request Information
Forward to Next Signing Authority
Incorrect Department
Comments:
1) Please complete Sponsor Info tab properly indicating Agency, Program and Amount Requested.
2) This is a hospital-based project. Please complete sub-tab 3 of the TRAQ DSS Form and select proper Hospital Operational Directors for approval in the Approvals tab.
3) Pushing application back at the request of Mr. Hospital Operational Director. Please see comments in Work Flow Log and re-submit application.
Submit
Cancel

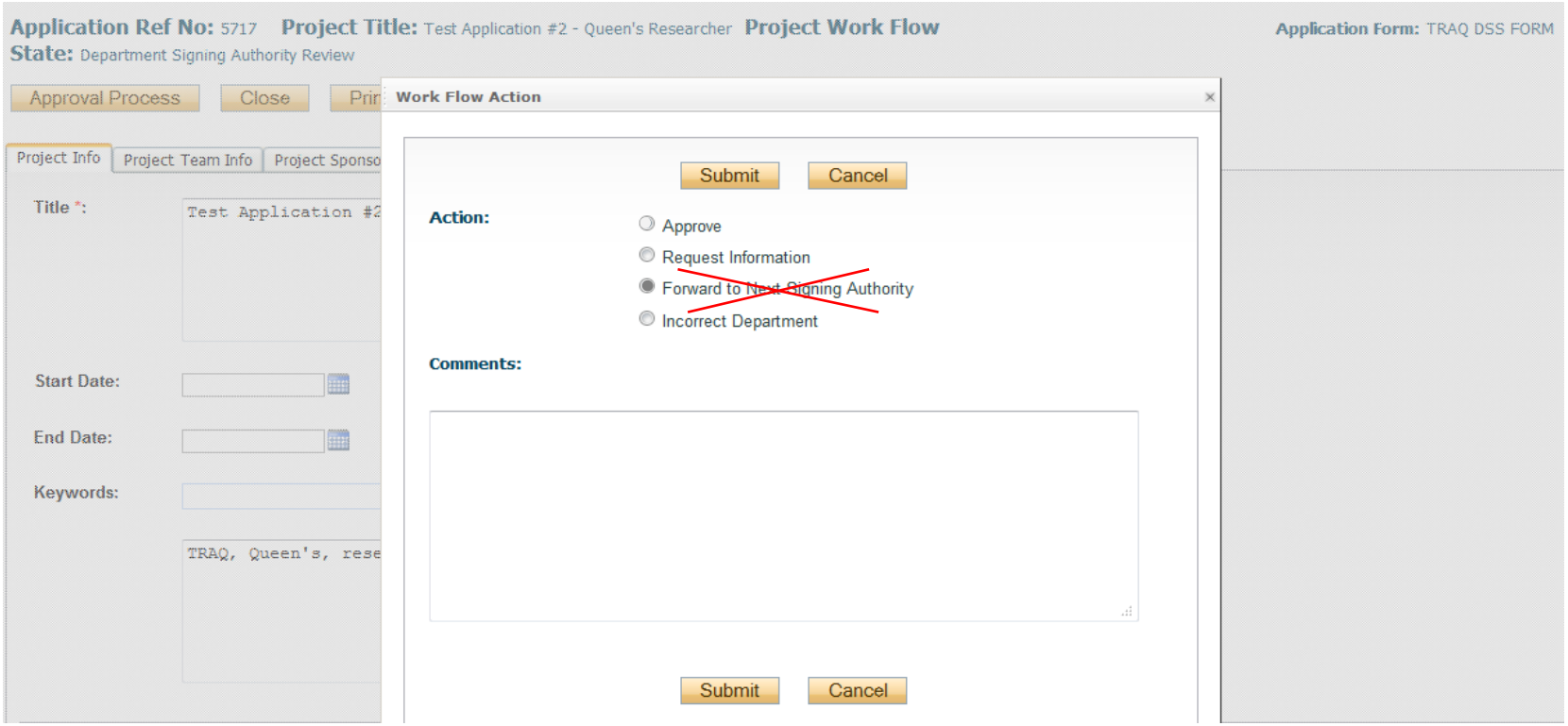
Action: Incorrect Department

- If the PI submitted their TRAQ DSS Form to the wrong department, you may push the application back to them. Please click the 'Incorrect Department' radio button, ask the PI to change their affiliation on the Project Team Info tab and re-submit the application to the correct department, click 'Submit'.



Action: Forward to Next Signing Authority

- Currently, we do not recommend using the option “Forward to Next Signing Authority”. Please use one of the three options described in the previous slides when making your approval decision.



Need assistance/have a question?

Contact the TRAQ Helpdesk

(613) 533-6000, ext. 78426

Email: traq@queensu.ca

You may also use our webform
to submit an issue to our Online Support Centre.